



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/998,613	11/30/2001	John Merrow Davies	OPTP101USB	4910

7590 06/14/2004  
Himanshu S. Amin  
Amin & Turocy, LLP  
National City Center  
1900 E. 9th Street, 24th Floor  
Cleveland, OH 44114

EXAMINER

SANTOS, PATRICK J D

ART UNIT	PAPER NUMBER
----------	--------------

2171

2

DATE MAILED: 06/14/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/998,613

Applicant(s)

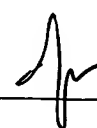
DAVIES ET AL.

Examiner

Patrick J Santos

Art Unit

2171



-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(e). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 30 November 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-37 is/are pending in the application.
- 4a) Of the above claim(s) 1-14 and 35-36 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 15-34 and 37 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 30 November 2001 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_

## DETAILED ACTION

### *Election/Restrictions*

1. Restriction to one of the following inventions is required under 35 U.S.C. 121:
  - I. Claims 1-12 and 14 drawn to a web browser user interface for data, classified in class 707, subclass 1.
  - II. Claims 13 and 35-36 are drawn to an automated electrical financial arrangement, classified in class 705, subclass 35.
  - III. Claims 15-34 and 37 drawn to a distributed system architecture classified in class 709, subclass 203.

Restriction of Groups I, II, and III are under combination-subcombination. Specifically:

- Regarding Groups I and II, note that the electrical financial arrangement of Group II need not even be monitored at all. Furthermore, there exist different mechanisms other than the web browser of Group I to monitor electrical financial arrangements.
- Regarding Groups I and III, note the client/server architecture in Group III does not require the web browser of Group I for the client, and since a different client user interface mechanism, may be used.
- Regarding Groups II and III, note that there are a wide variety of electrical financial arrangements, and Group III need not use the particular arrangement of Group II. Conversely, there are a wide variety of distributed system architectures that the

particular electrical financial arrangement of Group II may be applied to, other than the particular architecture of Group III.

Applicant election with traverse of Group III, Claims 15-34 and 37 was acknowledged via phone conversation with Himanshu Amin, attorney of record, on June 3, 2004.

Because these inventions are distinct for the reasons given above and have acquired a separate status in the art as shown by their different classification, restriction for examination purposes as indicated is proper.

Applicant is reminded that upon the cancellation of claims to a non-elected invention, the inventorship must be amended in compliance with 37 CFR 1.48(b) if one or more of the currently named inventors is no longer an inventor of at least one claim remaining in the application. Any amendment of inventorship must be accompanied by a request under 37 CFR 1.48(b) and by the fee required under 37 CFR 1.17(i).

### ***Claim Rejections - 35 USC § 102***

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

3. Claims 15-34 and 37 are rejected under 35 U.S.C. 102(e) as being anticipated by U.S. Patent No. 6,119,149 issued to Notani (hereafter Notani '149).

Claim 15:

Regarding Claim 15, Notani '149 discloses: a virtual private supply chain (Notani '149: Abstract; col. 2, lns. 1-7), comprising:

- a data acceptor operable to receive one or more supply chain data items from one or more supply chain members (Notani '149: col. 14, lns. 40-41 - note that the accessor of Notani '149 is analogous to the acceptor of applicant);
- a supply chain data store operable to store one or more supply chain data items received from one or more supply chain members (Notani '149: col. 5, lns. 32-47 – note that a persistent hierarchy of slots reads on a data store); and
- a data accessor operable to selectively present one or more supply chain data items stored in the supply chain data store to one or more viewing supply chain members (Notani '149: col. 4, lns. 17-26; Fig. 8, items 60 and 58 - note the web server implies viewing of data over an Internet browser).

Claim 16:

Regarding Claim 16, Notani '149 discloses all the limitations of Claim 15 (supra). Additionally, Notani '149 discloses: the supply chain data store is further adapted to facilitate establishing one or more relationships between a first supply chain data item originating from a first supply chain member and one or more second supply chain data items originating from one or more second supply chain members (Notani '149: col. 4, lns. 27-40).

Claim 17:

Regarding Claim 17, Notani '149 discloses all the limitations of Claim 16 (supra). Additionally, Notani '149 discloses: the supply chain data store is further adapted to facilitate establishing an ownership identifier for supply chain data items (Notani '149: col. 9, lns. 53-54; col. 10, ln. 53 to col. 11, ln. 11 – note that verify that a partner is who it claims to be, plus ability to collect data grouped by partnership, reads on facilitating establishing an ownership identifier).

Claim 18:

Regarding Claim 18, Notani '149 discloses all the limitations of Claim 17 (supra). Additionally, Notani '149 discloses: the supply chain data store is further adapted to facilitate establishing one or more access rights to supply chain data items (Notani '149: col. 10, lns. 56-65 – note that setting “read, write, take, and subscribe permissibilities” reads on establishing access rights).

Claim 19:

Regarding Claim 19, Notani '149 discloses all the limitations of Claim 18 (supra). Additionally, Notani '149 discloses: the data acceptor is further adapted to transform the received supply chain data to conform with one or more supply chain schema (Notani '149: col. 14, lns. 41-42; col. 14, ln. 63 to col. 15, ln. 2; col. 15, lns. 31-43 - note the transformer conforming to the CDM schema).

Claim 20:

Regarding Claim 20, Notani '149 discloses all the limitations of Claim 19 (supra). Additionally, Notani '149 discloses: the data acceptor is further adapted to validate the transformed supply chain data (Notani '149: col. 12, lns. 5-17 - note that strong typing inherently

reads on data validation since strong typing implies checking for a type mismatch error on incoming data, which in turn reads on data validation).

Claim 21:

Regarding Claim 21, Notani '149 discloses all the limitations of Claim 20 (supra). Additionally, Notani '149 discloses: the data acceptor is further adapted to load the validated supply chain data into the supply chain data store (Notani '149: col. 5, lns. 32-47; col. 14, lns. 40-48 – note that a persistent hierarchy of slots reads on a data storage and note the accessor, transformer, and transfer objects).

Claim 22:

Regarding Claim 22, Notani '149 discloses all the limitations of Claim 21 (supra). Additionally, Notani '149 discloses: the data accessor implements row-level supply chain security (Notani '149: col. 10, ln. 53 to col. 11, ln. 11; col. 9, lns. 44-58 - Note that the ability to separate data rows specific to a collaboration, and further to set security attributes on a per element basis reads on row-level security).

Claim 23:

Regarding Claim 23, Notani '149 discloses all the limitations of Claim 22 (supra). Additionally, Notani '149 discloses: the row-level supply chain security employs at least one of secure socket layers (SSL), digital certificates and encryption (Notani '149: col. 3, lns. 30-52).

Claim 24:

Regarding Claim 23, Notani '149 discloses all the limitations of Claim 15 (supra). Additionally, Notani '149 discloses: the one or more supply chain members are configured in a hub and spoke configuration, with the supply chain members located at spokes and at least one

of the data acceptor, the data accessor and the supply chain data store located at the hub (Notani '149: col. 3, ln. 59 to col. 4, ln. 5; Fig. 2).

Claim 25:

Regarding Claim 25, Notani '149 discloses all the limitations of Claim 24 (supra). Additionally, Notani '149 discloses: at least one supply chain member implements a connection stream (Notani '149: col. 7, lns. 10-19).

Claim 26:

Regarding Claim 26, Notani '149 discloses all the limitations of Claim 25 (supra). Additionally, Notani '149 discloses: where the connection stream is adapted to facilitate making communications between the hub and the spoke implementing the connection appear as a stream (Notani '149: col. 7, lns. 10-19).

Claim 27:

Regarding Claim 27, Notani '149 discloses all the limitations of Claim 26 (supra). Additionally, Notani '149 discloses: where the connection stream is further adapted to facilitate sending, receiving and/or validating BIOs (Notani '149: col. 7, lns. 10-19; col. 11, ln. 61 to col. 12, ln. 4 – note XML and Java (TM) Serial Streams support transfer of interface formats which reads on the “business interface objects” of applicant and further that “parameterized workflow” read on “business interface objects” of applicant).

Claim 28:

Regarding Claim 28, Notani '149 discloses all the limitations of Claim 27 (supra). Additionally, Notani '149 discloses: where the connection stream is further adapted to facilitate



selecting an encryption level to be applied to data communicated between the hub and the spoke implementing the connection stream (Notani '149: col. 10, Table 2).

Claim 29:

Regarding Claim 29, Notani '149 discloses all the limitations of Claim 24 (supra).

Additionally, Notani '149 discloses: where one or more supply chain data items may be persisted at one or more spokes (Notani '149: col. 3, ln. 46 to col. 4, ln. 5 – note that any enterprise, both hub and spoke, that participates in a global collaborations contains its own data).

Claim 30:

Regarding Claim 30, Notani '149 discloses all the limitations of Claim 29 (supra).

Additionally, Notani '149 discloses: the persisted items are stored as BLOBS (Binary Large Objects) (Notani '149: col. 5, lns. 48-56 – note that an “arbitrary byte array” reads on a BLOB).

Claim 31:

Regarding Claim 31, Notani '149 discloses: a computer readable medium storing computer executable components of a virtual private supply chain comprising:

- a data accepting component operable to receive one or more supply chain data items from one or more supply chain members (Notani '149: col. 14, lns. 40-41 - note that the accessor of Notani '149 is analogous to the acceptor of applicant);
- a supply chain data storing component operable to facilitate storing one or more supply chain data items received from one or more supply chain members (Notani '149: col. 5, lns. 32-38; col. 14, lns. 40-48 – note that a persistent hierarchy of slots reads on a data storage and note the accessor, transformer, and transfer objects); and

- a data accessing component operable to selectively present one or more supply chain data items stored by the supply chain data storing component to one or more viewing supply chain members (Notani '149: col. 4, lns. 17-26; Fig. 8, items 60 and 58 - note the web server implies viewing of data over an Internet browser).

Claim 32:

Regarding Claim 32, Notani '149 discloses: a method for providing a virtual private supply chain between two or more supply chain members, the method comprising:

- centralizing supply chain data from a plurality of supply chain members (Notani '149: col. 5, lns. 32-47 - note that the global collaboration workspace reads on centralized data with respect to the collaboration data);
- conforming the supply chain data to one or more common schema (Notani '149: col. 14, lns. 41-42; col. 14, ln. 63 to col. 15, ln. 2; col. 15, lns. 31-43 - note the transformer conforming to the CDM schema); and
- selectively permitting access to conformed supply chain data based on row-level security applied to the conformed supply chain data (Notani '149: col. 10, ln. 53 to col. 11, ln. 11; col. 9, lns. 44-58 - Note that the ability to separate data rows specific to a collaboration, and further to set security attributes on a per element basis reads on row-level security).

Claim 33:

Regarding Claim 33, Notani '149 discloses: a method for providing a virtual private supply chain between two or more supply chain members, the method comprising:

- accepting one or more supply chain data items from one or more supply chain members (Notani '149: col. 14, lns. 40-41 - note that the accessor of Notani '149 is analogous to the acceptor of applicant);
- establishing one or more ownership identifiers for the supply chain data items (Notani '149: col. 9, lns. 53-54; col. 10, ln. 53 to col. 11, ln. 11 – note that verify that a partner is who it claims to be, plus ability to collect data grouped by partnership, reads on facilitating establishing an ownership identifier);
- transforming the supply chain data items to conform with one or more supply chain schema (Notani '149: col. 14, lns. 41-42; col. 14, ln. 63 to col. 15, ln. 2; col. 15, lns. 31-43 - note the transformer conforming to the CDM schema);
- validating the transformed supply chain data items (Notani '149: col. 12, lns. 5-17 - note that strong typing inherently reads on data validation since strong typing implies checking for a type mismatch error on incoming data, which in turn reads on data validation);
- storing the validated supply chain data items in a supply chain data store (Notani '149: col. 5, lns. 32-47; col. 14, lns. 40-48 – note that a persistent hierarchy of slots reads on a data storage and note the accessor, transformer, and transfer objects);
- establishing one or more relationships between supply chain data items received from two or more supply chain members (Notani '149: col. 4, lns. 27-40); and
- selectively permitting access to one or more supply chain data items based on at least one of the ownership of the supply chain data item, the one or more relationships associated with the supply chain data items, and the one or more access permissions

associated with the supply chain data items (Notani '149: col. 10, lns. 56-65 – note that setting “read, write, take, and subscribe permissibilities” reads on establishing access rights).

Claim 34:

Regarding Claim 34, Notani '149 discloses all the limitations of Claim 33 (supra). Additionally, Notani '149 discloses a computer readable medium storing computer executable instructions operable to perform the method of Claim 33 (Notani '149: col. 17, lns. 9-10).

Claim 37:

Regarding Claim 37, Notani '149 discloses: a method for providing a virtual private supply chain between two or more supply chain members, the method comprising:

- means for collecting supply chain data from a plurality of supply chain members (Notani '149: col. 14, lns. 40-41 - note that the accessor of Notani '149 is analogous to the acceptor of applicant);
- means for standardizing the collected supply chain data to one or more supply chain schema (Notani '149: col. 14, lns. 41-42; col. 14, ln. 63 to col. 15, ln. 2; col. 15, lns. 31-43 - note the transformer conforming to the CDM schema which is a standardizing schema); and
- means for securely accessing the collected supply chain data (Notani '149: col. 3, lns. 30-52 – note SSL reads on secure access).

***Conclusion***

4. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

- U.S. Patent Application No. US2002/0059425 by Belfiore et al., "Distributed Computing Services Platform," reference describes Microsoft Corporation's (TM) .NET (TM) implementation of web services. The page-emissary-fiefdom pattern reads on application. Note the provisional date of Jun. 22, 2000.
- U.S. Patent Application No. US2003/0120651 by Bernstein et al., "Methods and Systems of Model Matching," reference reads on Microsoft Corporation's (TM) BizTalk (TM) loader.

5. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Patrick J.D. Santos whose telephone number is 703-305-0707. The examiner can normally be reached on M-F 8:00-4:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Safet Metjahic can be reached on 703-308-1436. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.


Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Patrick J.D. Santos

Application/Control Number: 09/998,613  
Art Unit: 2171

Page 13

June 7, 2004



SAFET METJAHIC  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100